

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

MEL201

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/889,997

INTERNATIONAL APPLICATION NO.

PCT/EP99/00377

INTERNATIONAL FILING DATE

21 JANUARY 1999

PRIORITY DATE CLAIMED

21 JANUARY 1999

TITLE OF INVENTION METHOD FOR DETERMINING COEFFICIENTS CHARACTERISTIC OF
THE OPTICAL BEHAVIOR OF LIQUID CRYSTAL CELLS
APPLICANT(S) FOR DO/EO/US

MICHAEL BECKER, HENING WOHLER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
 - RESPONSE TO THE NOTIFICATION TO FILE MISSING REQUIREMENTS
 - PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)

U.S. APPLICATION NO. (if known, see 37 CFR 1.101)
09/889,997INTERNATIONAL APPLICATION NO.
PCT/EP99/00377ATTORNEY'S DOCKET NUMBER
MEL20121. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO..... \$1000.00International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$860.00International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than
months from the earliest claimed priority date (37 CFR 1.492(e)). ☐ 20 ☒ 30

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | |
|---|--------------|--------------|-----------|------------|
| Total claims | - 20 = | | x \$18.00 | \$ |
| Independent claims | - 3 = | | x \$80.00 | \$ |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | | + \$270.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ 65.00 |
| SUBTOTAL = | | | | \$ 65.00 |
| Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492(f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30 | | | | \$ |
| TOTAL NATIONAL FEE = | | | | \$ |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | \$ 40.00 |
| TOTAL FEES ENCLOSED = | | | | \$ 105.00 |
| Amount to be refunded: | | | | \$ |
| charged: | | | | \$ |

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 11-0224. A duplicate copy of this sheet is enclosed.
- d. ☒ Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Horst M. Kasper
13 Forest Drive
Warren, N.J. 07059

SIGNATURE

HORST M. KASPER

NAME

28,559

REGISTRATION NUMBER

09/889 997

PCT/EP99/00377

MELZ01

21. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....

\$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO

\$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO

\$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)

\$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)

\$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

\$ 130.00

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | |
|---|--------------|--------------|------------|----|
| Total claims | - 20 = | | | \$ |
| Independent claims | - 3 = | | x \$18.00 | \$ |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | x \$80.00 | \$ |
| | | | + \$270.00 | \$ |

TOTAL OF ABOVE CALCULATIONS =

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

\$ 65.00

SUBTOTAL =

\$ 65.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

TOTAL FEES ENCLOSED =

\$ 105.00

01/15/2002 MNGUYEN 00000065 09889997

01 FC-254

65.00 OP

Amount to be refunded:

\$

charged:

\$

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 11-0224. A duplicate copy of this sheet is enclosed.
- d. ☒ Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Horst M. Kasper
13 Forest Drive
Warren, N.J. 07059

SIGNATURE

HORST M. KASPER

NAME

28,559

REGISTRATION NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Michael BECKER et al.

Serial No: 09/889,997

Filing Date:

Title: **METHOD FOR DETERMINING COEFFICIENTS CHARACTERISTIC
OF THE OPTICAL BEHAVIOR OF LIQUID CRYSTAL CELLS**

December 20, 2001

Attorney's Docket No.: MEL201

**RESPONSE TO THE NOTIFICATION OF MISSING REQUIREMENTS UNDER
35 U.S.C. 371**

Hon. Commissioner of Patents and Trademarks
Box PCT
Washington, D.C. 20231

SIR:

This is in response to the Notification to File Missing Requirements mailed on September 13, 2001 and setting a statutory period for response of two months, said period expiring on November 13, 2001.

The Notification to File Missing Requirements states that, *"the following items must be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:*

- *Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application*
- *Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).*

The applicants are submitting herewith Inventor Declaration- German Language Declaration as well as surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

For purposes of paying the required fee a credit card payment form PTO-2038 is enclosed.

A copy of the Notification to File Missing Requirements mailed on September 14, 2001 is enclosed with the present response.

Respectfully submitted,

Michael Becker et al.

By:



Horst M. Kasper, their attorney,
13 Forest Drive, Warren, N.J. 07059
Tel.:(908)526-1717 Fax:(908)526-6977
Reg. No. 28,559; Docket No.: MEL201

*%oremail(MEL201R2(December 20, 2001(ssp

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Michael BECKER et al.

Serial No: 09/889,997

Filing Date:

Title: **METHOD FOR DETERMINING COEFFICIENTS
CHARACTERISTIC OF THE OPTICAL BEHAVIOR OF
LIQUID CRYSTAL CELLS**

Examiner:

Art Unit:

December 20, 2001

Attorney's Docket No.: MEL201

TRANSMITTAL LETTER

Hon. Commissioner of Patents and Trademarks
Box PCT
Washington, D.C. 20231

SIR:

Transmitted herewith for filing is:


- <X> Form PTO-1390
- <X> Response to the Notification to File Missing Requirements dated December 20, 2001 (2 pages)
- <X> Inventor Declaration (6 pages)
- <X> Petition for Extension of Time dated December 20, 2001 (1 page)
- <X> Copy of the Notification to File Missing Requirements mailed on September 13, 2001
- <X> Recordation Form Cover Sheet Form PTO-1595
- <X> Assignment (3 pages)
- <X> Fees in the amount of \$305.00 is to be charged to a credit card. Form PTO-2038 is enclosed

< > Enclosed is a check to cover the fee in the amount of \$_____.

(X) The applicant hereby petitions the Commissioner of Patents and Trademarks to extend the time for response to any Office Action outstanding in the above captioned matter as necessary to avoid abandonment of the application. Please charge my deposit account No.11-0224 in the amount required to cover the cost of the extension. Any deficiency or overpayment should be charged or credited to the above account.


(X) The Commissioner is hereby authorized to charge any fees under 35 U.S.C. 1.16, and 1.17, after a mailing of a Notice of Allowance under 35 USC 1.18 or any additional fees which may be required during the entire pendency of the application, or credit any overpayment, to Acct. No.11-0224. A duplicate copy of this sheet is enclosed. If and only if account funds should be insufficient, immediately contact our associate, Lisa Zumwalt, at (703)415-0579, who will pay immediately to avoid deprivation of rights. () Please charge my Account No.11-0224 in the amount of \$_____. A duplicate copy of this sheet is enclosed.

A signature or signatures required for the above recited document(s) is (are) provided herebelow. Such signature(s) also provide(s) ratification for any required signature appearing to be defective in the above recited document(s).


Horst M. Kasper, 13 Forest Drive, Warren, N.J. 07059
Reg. No. 28,559 Tel. (908) 526-1717

CERTIFICATE OF MAILING under 37 CFR 1.8:

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: *Assistant Commissioner for Trademarks, 2900 Crystal Drive, Arlington, VA 22202*, on **December 21, 2001**

Signature: 

Name: Radoslaw Krajewski

*%trans(MEL201T2(December 20, 2001(ssp